



Appln. No. 09/698,044  
Infor. Discl. Stmt. dated March 2, 2004

PATENT  
Customer No. 22,852  
Attorney Docket No. 7451.0001-16  
InterTrust Ref. No.: IT-5.6.1 (US)

**CERTIFICATE OF EXPRESS MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service's "Express Mail Post Office to Addressee" service under 37 CFR § 1.10, in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on March 2, 2004. Express Mail Label Nos.: EV 398888294 US

Signed: Cindy Bagietto  
Cindy Bagietto

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: )  
Karl L. GINTER et al. ) Group Art Unit: 2132  
Application No.: 09/698,044 ) Examiner: W.P. Amsbury  
Filed: October 30, 2000 )  
For: SYSTEMS AND METHODS FOR ) RECEIVED  
SECURE TRANSACTION )  
MANAGEMENT AND ) MAR 08 2004  
ELECTRONIC RIGHTS )  
PROTECTION )  
Technology Center 2100

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. § 1.97(b)**

Pursuant to 37 C.F.R. §§ 1.56 and 1.97(b), applicant brings to the attention of the Examiner the documents listed on the attached PTO 1449. This Information Disclosure Statement is being filed within three months of the filing date of the above-referenced application.

Appln. No. 09/698,044  
Infor. Discl. Stmt. dated March 2, 2004

PATENT  
Customer No. 22,852  
Attorney Docket No. 7451.0001-16  
InterTrust Ref. No.: IT-5.6.1 (US)



The references enclosed with this paper (either in hard copy or in electronic format<sup>1</sup>) and listed on the attached form PTO-1449 were documents cited by Microsoft in the related litigation. Many of these documents were brought to the attention of the Office in an earlier notice of related litigation.

This submission does not represent that a search has been made or that no better art exists and does not constitute an admission that each or all of the listed documents are material or constitute "prior art." If the Examiner applies any of the documents as prior art against any claims in the application and Applicants determine that the cited documents do not constitute "prior art" under United States law, Applicants reserve the right to present to the office the relevant facts and law regarding the appropriate status of such documents.

Applicants further reserve the right to take appropriate action to establish the patentability of the disclosed invention over the listed documents, should one or more of the documents be applied against the claims of the present application.

If there is any fee due in connection with the filing of this Statement, please charge the fee to our Deposit Account No. 06-0916.

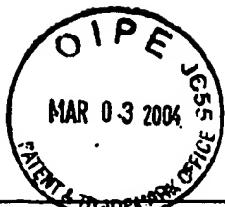
Respectfully submitted,

FINNEGAN, HENDERSON, FARABOW,  
GARRETT & DUNNER, L.L.P.

Dated: March 2, 2004

By: Andy Schwaab  
Andrew B. Schwaab  
Reg. No. 38,611

<sup>1</sup> The references submitted in electronic format on the enclosed CD-ROM were submitted as hard copies in a recent IDS filed for Appln. No. 10/157,061 on February 23, 2004.



MAR 03 2004

OMB No. 0651-0011

## **INFORMATION DISCLOSURE CITATION**

Atty. Docket No.	07451.0001-16000	Appln. No.	09/698,044
Applicant	Karl L. Ginter, et al.		
Filing Date	October 30, 2000	Group:	2132

Examiner Initial*	Document Number	Issue Date	Name	Class	Sub Class	Filing Date If Appropriate
	5,138,712	08/11/92	Corbin			
	5,113,518	05/12/92	Durst, Jr. et al.			
	4,941,175	07/10/90	Enescu et al.			
	5,940,504	08/17/99	Griswold			RECEIVED
	4,020,326	04/26/77	Coulthurst			MAR 08 2004
	4,937,863	06/26/90	Robert et al.			Technology Center 2100
	4,827,508	05/02/89	Shear			
	4,609,777	09/02/86	Cargile			
	5,966,440	10/12/99	Hair			
	5,191,573	03/02/93	Hair			
	4,866,769	09/12/89	Karp			
	5,291,598	03/01/94	Grundy			
	5,014,234	05/07/91	Edwards, Jr.			
	3,996,449	12/07/76	Attanasio et al.			
	4,104,721	08/01/78	Markstein et al.			
	4,183,085	01/08/80	Roberts et al.			
	4,246,638	01/20/81	Thomas			
	4,442,484	04/10/84	Childs, Jr et al.			
	4,471,216	09/11/84	Herve			
	4,523,271	06/11/85	Levien			
	4,525,599	06/25/85	Curran et al.			
	4,562,305	12/31/85	Gaffney, Jr.			
	4,598,288	07/01/86	Yarbrough et al.			
	4,599,489	07/08/86	Cargile			
	4,609,985	09/02/86	Dozier			
	4,621,321	11/04/86	Boebert et al.			
	4,621,334	11/04/86	Garcia			
	5,603,031	02/11/97	White et al.			

~~RECEIVED~~

MAR 08 2004

Technology Center 2100



OMB No. 0651-0011

## INFORMATION DISCLOSURE CITATION

Atty. Docket No.: 07451.0001-16000	Appln. No.	09/698,044
Applicant	Karl L. Ginter, et al.	
Filing Date	October 30, 2000	Group: 2132

Examiner Initial*	Document Number	Issue Date	Name	Class	Sub Class	Filing Date If Appropriate
	5,577,209	11/19/96	Boyle et al.			
	5,369,702	11/29/94	Shanton			
	5,206,951	04/27/93	Khoyi et al.			
	5,724,425	03/03/98	Chang et al.			
	4,995,082	02/19/91	Schnorr			RECEIVED MAR 08 2004
	5,689,565	11/18/97	Spies et al.			
	5,689,566	11/18/97	Nguyen			CANCELLED
	5,649,099	07/15/97	Theimer et al.			MAR 08 2004 Technology Center 2100
	4,816,655	03/28/89	Musyck et al.			
	5,892,899	04/06/99	Aucsmith et al.			
	5,390,297	02/14/95	Barber et al.			RECEIVED MAR 08 2004
	5,956,408	09/21/99	Arnold			
	5,625,693	04/29/97	Rohatgi et al.			
	4,259,720	03/31/81	Campbell			
	4,321,672	03/23/82	Braun et al.			
	5,636,276	06/03/97	Brugger			
	5,365,587	11/15/94	Campbell et al.			
	5,373,440	12/13/94	Cohen et al.			
	5,557,798	09/17/96	Skeen et al.			
	5,490,216	02/06/96	Richardson, III			
	5,715,314	02/03/98	Payne et al.			
	5,724,424	03/03/98	Gifford			
	5,432,851	07/11/95	Scheidt et al.			
	5,369,707	11/29/94	Follendore, III			
	5,432,928	07/11/95	Sherman			
	5,301,326	04/05/94	Linnett et al.			
	5,319,735	06/07/94	Preuss et al.			
	5,450,490	09/12/95	Jensen et al.			



OMB No. 0651-0011

## INFORMATION DISCLOSURE CITATION

Atty. Docket No.	07451.0001-16000	Appln. No.	09/698,044
Applicant	Karl L. Ginter, et al.		
Filing Date	October 30, 2000	Group:	2132

Examiner Initial*	Document Number	Issue Date	Name	Class	Sub Class	Filing Date If Appropriate
	5,164,988	11/17/92	Matyas et al.			
	5,699,427	12/16/97	Chow et al.			
	4,926,480	05/15/90	Chaum			
	4,529,870	07/16/85	Chaum			
	5,361,359	11/01/94	Tajalli et al.			
	5,325,524	06/28/94	Black et al.			
	5,802,590	09/01/98	Draves			
	6,016,393	01/18/00	White et al.			MAR 08 2004
	5,199,074	03/30/93	Thor			Technology Center 2100
	5,367,621	11/22/94	Cohen et al.			
	5,129,084	07/07/92	Kelly, Jr. et al.			
	5,150,407	09/22/92	Chan			
	5,199,066	03/30/93	Logan			
	5,204,897	04/20/93	Wyman			
	5,263,157	11/16/93	Janis			
	5,263,165	11/16/93	Janis			
	5,276,901	01/04/94	Howell et al.			
	5,283,830	02/01/94	Hinsley et al.			
	5,287,407	02/15/94	Holmes			
	5,335,346	08/02/94	Fabbio			
	5,337,357	08/09/94	Chou et al.			
	5,343,526	08/30/94	Lassers			
	5,349,642	09/20/94	Kingdon			
	5,359,721	10/25/94	Kempf et al.			
	5,371,792	12/06/94	Asai et al.			
	5,440,634	08/08/95	Jones et al.			
	5,845,281	12/01/98	Benson et al.			
	4,573,119	02/25/86	Westheimer et al.			

RECEIVED

MAR 08 2004

2100



OMB No. 0651-0011

## INFORMATION DISCLOSURE CITATION

Atty. Docket No. 07451.0001-16000	Appn. No.	09/698,044
Applicant	Karl L. Ginter, et al.	
Filing Date	October 30, 2000	Group: 2132

Examiner Initial*	Document Number	Issue Date	Name	Class	Sub Class	Filing Date If Appropriate
	4,578,530	03/25/86	Zeidler			
	4,590,552	05/20/86	Guttag et al.			
	4,683,968	08/04/87	Appelbaum et al.			
	4,780,821	10/25/88	Crossley			MAR 0 8 2004
	4,796,220	01/03/89	Wolfe			Technology Center 2100
	4,864,616	09/05/89	Pond et al.			
	4,868,736	09/19/89	Walker			
	4,888,798	12/19/89	Earnest			
	4,893,248	01/09/90	Pitts et al.			
	4,893,332	01/09/90	Brown			
	4,953,209	08/28/90	Ryder, Sr. et al.			
	4,962,533	10/09/90	Krueger et al.			
	4,975,878	12/04/90	Boddu et al.			
	5,022,080	06/04/91	Durst et al.			
	5,027,397	06/25/91	Double et al.			
	5,032,979	07/16/91	Hecht et al.			
	5,058,162	10/15/91	Santon et al.			
	5,065,429	11/12/91	Lang			
	5,109,413	04/28/92	Comerford et al.			
	5,383,113	01/17/95	Kight et al.			
	5,524,933	06/11/96	Kunt et al.			
	4,672,605	06/09/87	Hustig et al.			
	5,103,459	04/07/92	Gilhousen et al.			
	3,845,391	10/29/74	Crosby			
	5,574,962	11/12/96	Fardeau et al.			
	5,581,800	12/03/96	Fardeau et al.			
	5,787,334	07/28/98	Fardeau et al.			
	5,721,788	02/24/98	Powell et al.			

RECEIVED

## INFORMATION DISCLOSURE CITATION

**RECEIVED**

Atty. Docket No.	07451.0001-16000	Appln. No.	09/698,044
Applicant	Karl L. Ginter, et al.		
Filing Date	October 30, 2000	Group:	2132 Technology Center 2100

Examiner Initial*	Document Number	Issue Date	Name	Class	Sub Class	Filing Date If Appropriate
	5,079,648	01/07/92	Maufe			

Examiner Initial*	Document Number	Publication Date	Country	Class	Sub Class	Translation Yes or No
	DE 29 43 436 A1	10/26/79	Germany			

Examiner Initial*	OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)
	Cox, B., "Superdistribution," <u>Wired</u> , September 1994, 2 pages.
	Hauser, Ralf, C., "Does Licensing Require New Access Control Techniques?," Institut fur Informatik, Universitat Zurich, August 12, 1993, 9 pages.
	Purdy, G.B., et al., "A Software Protection Scheme," Proceedings of the 1982 Symposium on Security and Privacy, April 26-28, 1982, Oakland California, pp. 99-103.
	Neuman, B.C., "Proxy-Based Authorization and Accounting for Distributed Systems," Information Sciences Institute, University of Southern California, 1993, pp. 283-291.
	Low, S.H., et al., "Anonymous Credit Cards," Proceedings of the 2 <sup>nd</sup> ACM Conference on Computers and Communication Security, Fairfax, Virginia, November 2-4, 1994, pp. 1-10.
	Kristol, D.M., et al., "Anonymous Internet Mercantile Protocol," AT&T Bell Laboratories, March 17, 1994, pp. 1-16.
	<u>The First USENIX Workshop on Electronic Commerce Proceedings</u> , New York, New York, July 11-12, 1995, Usenix Association.
	Olson, M., et al., "Concurrent Access Licensing," vol. 6, no. 9, Unix Review, 1988, pp. 67-74.
	Kahn, D., <u>The Codebreakers: The Story of Secret Writing</u> , The Macmillan Company, 1967.
	Cohen, F.B., <u>Protection and Security on the Information Superhighway</u> , John Wiley & Sons, Inc., 1995.
	Brockschmidt, Kraig, <u>Inside OLE 2</u> , Microsoft Press Programming Series, 1994.
	Berners-Lee, T.J., et al., "Networked Information Services: The World-Wide Web," Computer Networks and ISDN Systems, 1992, pp. 454-459.
	Rivest, R.L., et al., "A Method for Obtaining Digital Signatures and Public-Key Cryptosystems," Communications of the ACM, vol. 21, no. 2, February, 1978, pp. 120-126b.
	Ferraiolo, D., et al., "Role-Based Access Control," Reprinted from the Proceedings of the 15 <sup>th</sup> National Computer Society Conference, 1992, pp. 1-11.



OMB No. 0651-0011

## INFORMATION DISCLOSURE CITATION

RECEIVED

Atty. Docket No.	07451.0001-16000	Appn. No.	09/698,044
Applicant	Karl L. Ginter, et al.	MAR 08 2004	
Filing Date	October 30, 2000	Group:	2132 Technology Center 2100

Examiner Initial*	OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)
	U.S. Department of Commerce (NIST), "Security Requirements for Cryptographic Modules," January 11, 1994, pp. 1-53.
	Kreutzer, A.N., "An On-Line System for Controlling and Monitoring Software Usage in a Microcomputer Laboratory," SIGUCCS Newsletter, vol. 18, no. 2, 1988, pp. 29-32.
	Millen, J.K., et al., "Security for Object-Oriented Database Systems," Proceedings of the 1992 IEREE Computer Society Symposium on Research in Security and Privacy, May 4-6, 1992, Oakland, California, pp. 260-272.
	Kim, L., et al., "Novell Cuisine," Proceedings of the ACM SIGUCCS User Services Conference XIX, November 3-6, 1991, Seattle, Washington, pp. 183-184.
	Koenig, A., "Automatic Software Distribution," Usenix Association Software Tools Users Group, Summer Conference, Salt Lake City, June 12-15, 1984, pp. 312-322.
	Leiss, E., "On Authorization Systems with Grantor-Controlled Propagation on Privileges," Compcon 83, February 28-March 3, 1983, San Francisco, California, pp. 499-502.
	Strack, Hermann, "Extended Access Control in UNIX System V-ACLs and Context," Usenix Association, Proceedings of the Unix Security II Workshop, August 27-28, 1990, Portland, Oregon, pp. 87-101.
	Polk, T.W., "Approximating Clark-Wilson "Access Triples" with Basic UNIX Controls," Symposium Proceedings, Unix Security IV, October 4-6, 1993, Santa Clara, California, pp. 145-154.
	Karnens, J.I., "Retrofitting Network Security to Third-Party Applications-The SecureBase Experience," Symposium Proceedings, Unix Security IV, October 4-6, 1993, Santa Clara, California, pp. 41-57.
	Gamble, Todd, "Implementing Execution Controls in Unix," Usenix Association, Proceedings of the Seventh Systems Administration Conference, November 1-5, 1993, Monterey, California, pp. 237-242.
	Epstein, J., "A Trusted X Window System Server for Trusted Mach," Usenix Association Proceedings, Mach Workshop, October 4-5, 1990, Burlington, Vermont, pp. 141-155.
	Kelter, U., "Discretionary Access Controls in a High-Performance Object Management System," 1991 IEEE Computer Society Symposium on Research in Security and Privacy, May 20-22, 1991, Oakland, California, pp. 288-299.
	Downs, D.D., et al., "Issues in Discretionary Access Control," Proceedings of the 1985 Symposium on Security and Privacy, April 22-24, 1985, Oakland, California, pp. 208-218.
	Solomon, Daniel, J., "Processing Multilevel Secure Objects," Proceedings of the 1981 Symposium on Security and Privacy, April 27-29, 1981, Oakland, California, pp. 56-61.



OMB No. 0651-0011

RECEIVED

## INFORMATION DISCLOSURE CITATION

MAR 08 2004

Technology Center 2100

Atty. Docket No.	07451.0001-16000	Appln. No.	09/698,044
Applicant	Karl L. Ginter, et al.		
Filing Date	October 30, 2000	Group:	2132

Examiner Initial*	OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)
	Kim, Won, et al., <u>Object-Oriented Concepts, Databases, and Applications</u> , ACM Press, 1989.
	Maude, T., et al., "Hardware Protection Against Software Piracy," Communications of the ACM, vol. 27, no. 9, September 1984, pp. 951-959.
	Lipson, S., "Little Black Box 'Blocks' Illicit Software Copying," Stamford Advocate, September 14, 1986, pp. E1-E2.
	Sandhu, Ravi, S., et al., "Implementation Considerations for the Typed Access Matrix Model in a Distributed Environment," Proceedings of the 15 <sup>th</sup> NIST-SCSC National Computer Security Conference, Baltimore, Maryland, October 1992, pp. 221-235.
	Rescorla, E., et al., "The Secure HyperText Transfer Protocol," Enterprise Integration Technologies, June 1994, pp. 1-23.
	Keefe, T.F., et al., "Prototyping the SODA Security Model," Department of Computer Science, University of Minnesota, 1990, pp. 211-235.
	National Security Agency, "A Guide to Understanding Security Modeling in Trusted Systems," October 1992, 122 pages.
	Sandhu, R.S., "The Typed Access Matrix Model," Proceedings of the IEEE Symposium on Security and Privacy, Oakland California, May 4-6, 1992, pp. 122-136.
	Lunt, Teresa, "Multilevel Security for Object-Oriented Database Systems," SRI International Computer Science Laboratory, 1990, pp. 199-209.
	Yee, B., et al., "Secure Coprocessors in Electronic Commerce Applications," Proceedings of the First Usenix Workshop on Electronic Commerce, New York, New York, July 1995, 16 pages.
	Franklin, M., et al., "An Overview of Secure Distribution Computing," March 24, 1992, pp. 1-46.
	Anderson, R., "Why Cryptosystems Fail," University Computer Laboratory, Cambridge, Massachusetts, (undated), pp. 1-34.
	Bishop, M., "Anatomy of a Proactive Password Changer," Department of Mathematics and Computer Science, Dartmouth College, (undated), 15 pages.
	Time-Life Books, <u>Understanding Computers: Computer Security</u> , 1986.
	Wood, P.H., et al., <u>UNIX System Security</u> , Pipline Associates, Inc., 1985.
	Symantec Corporation, "THINK Pascal: The Fastest Way to Finished Software," Symantec Corporation, 1990, pp. 93-123.



OMB No. 0651-0011

RECEIVED

## INFORMATION DISCLOSURE CITATION

Atty. Docket No.	07451.0001-16000	Appln. No.	09/698,044	MAR 08 2004
Applicant	Karl L. Ginter, et al.			
Filing Date	October 30, 2000	Group:	2132	Technology Center 2100

Examiner Initial*	OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)
	McCollum, C.J., et al., "Beyond the Pale of MAC and DAC-Defining New Forms of Access Control," , Unisys Defense Systems, 1990, pp. 190-200.
	"Mach Books," viewed on February 6, 2002 at <a href="http://www2.cs.cmu.edu/afs/cs/project/mach/public/www/doc/books.html">http://www2.cs.cmu.edu/afs/cs/project/mach/public/www/doc/books.html</a> , pp. 1-3.
	Department of Defense, "Trusted Computer System Evaluation Criteria," December 1985, 72 pages.
	LaLonde Wilf, R., et al., <u>Inside Smalltalk: Volume 1</u> , Prentice-Hall, Inc., 1990.
	Muftic, Sead, <u>Security Mechanisms for Computer Networks</u> , Ellis Horwood Limited, 1989.
	Konheim, Alan, G., et al., <u>Cryptography: A Primer</u> , John Wiley & Sons, Inc., 1981.
	Davies, D.W., et al., <u>Security for Computer Networks</u> , John Wiley & Sons, Inc., 1984.
	OOPSLA 1993: Addendum to the Proceedings, "Security for Object-Oriented Systems," September 26-October 1, 1993, pp. 77-78.
	Thuraisingham, B., et al., "Parallel Processing and Trusted Database Management Systems," ACM,1993.
	Secure Computing, "Constructing a High Assurance Mail Guard," 1994, pp. 1-10.
	Sandhu, R.S., et al., "Data and Database Security and Controls," Handbook of Information Security Management, Auerbach Publishers, 1993, pp. 1-37.
	Thomas, R.K., et al., "Implementing the Message Filter Object-Oriented Security Model without Trusted Subjects," Proceedings of the IFIP Workshop on Database Security, August 19-21, 1992, Vancouver, Canada, 21 pages.
	Sandhu, R., et al., "A Secure Kernelized Architecture for Multilevel Object-Oriented Databases," Proceedings of the IEEE Computer Security Foundations Workshop IV, June 1991, Franconia, NH, pp. 139-152.
	Sibert, O., et al., "The Intel 80x86 Processor Architecture: Pitfalls for Secure Systems," (undated), 12 pages.
	Ware, W., Chairman RAND Corporation "Panel: The InterTrust Commerce Architecture," 1997, 6 pages.
	Fine, T.,et al, "Assuring Distributed Trusted Mach," Secure Computing Corporation, 1993, 13 pages.
	Minear, S.E., "Providing Policy Control Over Object Operations in a Mach Based System," Secure Computing Corporation, April 28, 1995, 15 pag s.
	Harris, J., et al., "Bento Specification," Apple Computer, Inc., July 15, 1993, 106 pages.



OMB No. 0651-0011

## INFORMATION DISCLOSURE CITATION

RECEIVED

Atty. Docket No.	07451.0001-16000	Appln. No.	09/698,044
Applicant	Karl L. Ginter, et al.		
Filing Date	October 30, 2000	Group:	2132 Technology Center 2100

Examiner Initial*	OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)
	Young, W.D., "Verifiable Computer Security and Hardware: Issues," Computational Logic, Inc., September 1991, pp. 1-39.
	Denning, A., <u>OLE Controls Inside Out</u> , Microsoft Press, 1995.
	Denning, D., <u>Cryptography and Data Security</u> , Addison-Wesley Publishing Company, Inc., 1982.
	Schneier, Bruce, <u>Applied Cryptography: Protocols, Algorithms, and Source Code in C</u> , John Wiley & Sons, Inc., 1994.
	Garfinkel, Simson, et al., <u>Practical UNIX Security</u> , O'Reilly & Associates, Inc., 1991.
	Dougherty, D., et al., <u>The Mosaic Handbook for the X Window System</u> , O'Reilly & Associates, 1994.
	Curry, D.A., "UNIX System Security: A Guide for Users and System Administrators", Addison-Wesley Publishing Company, Inc., 1992.
	International Infrastructure Standards Panel, "IISP Need #31-Containers or Secure Packaging," Electronic Publishing Research, September 18, 1995, pp. 1-3.
	International Infrastructure Standards Panel, "IISP Need #32-Authentication of Content," Electronic Publishing Research, September 18, 1995, pp. 1-3.
	International Infrastructure Standards Panel, "IISP Need #33-Control Enforcement," Electronic Publishing Research, September 18, 1995, pp. 1-3.
	International Infrastructure Standards Panel, "IISP Need #34-Billing and Payment," Electronic Publishing Research, September 18, 1995, pp. 1-3.
	International Infrastructure Standards Panel, "IISP Need #35-Reporting," Electronic Publishing Research, September 18, 1995, pp. 1-3.
	Kaplan, M., "IBM Cryptolopes, Super Distribution and Digital Rights Management," viewed at < <a href="http://www.research.ibm.com/people/k/kaplan/cryptolope-docs/crypap.html">http://www.research.ibm.com/people/k/kaplan/cryptolope-docs/crypap.html</a> > on December 30, 1996, pp. 1-10.
	Sebes, E.J., et al., "The Triad System: The Design of a Distributed, Real-Time, Trusted System," (undated), pp. 1-12.
	Sebes, E.J., et al., "The Architecture of Triad: A Distributed, Real-Time, Trusted System," (undated), pp. 1-12.
	Sebes, E.J., "Overview of the Architecture of Distributed Trusted Mach," (undated), pp. 1-10.
	Vickers Benzel, T.C., et al., "Identification of Subjects and Objects in a Trusted Extensible Client Server Architecture," (undated), pp. 1-17.



OMB No. 0651-0011

## INFORMATION DISCLOSURE CITATION

RECEIVED

App. Docket No.	07451.0001-16000	Appln. No.	09/698,044	MAR 08 2004
Applicant	Karl L. Ginter, et al.			
Filing Date	October 30, 2000	Group:	2132	Technology Center 2100

Examiner Initial*	OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)
	Borenstein, N., "MIME Extensions for Mail-Enabled Applications: Application/Safe-Tel and Multipart/Enabled-Mail," November 1993, 24 pages.
	Bellare, M., "iKP-A Family of Secure Electronic Payment Protocols," April 16, 1995, pp. 1-19.
	Harn, Lein, et al., "A Software Authentication System for the Prevention of Computer Viruses," ACM, 1992, pp. 447-.450
	Deutsch, P., "GZIP File Format Specification Version 4.3," Network Working Group, May 1996, pp. 12.
	Gong, Li, "A Secure Identity-Based Capability System," University of Cambridge Computer Laboratory, January 1989, pp. 1-15.
	Merkle, R.C., "Secure Communications Over Insecure Channels," Communications of the ACM, vol. 21, no. 4, April 1978, pp. 294-296.
	Medvinsky, G., et al., "NetCash: A Design for Practical Electronic Currency on the Internet," Information Sciences Institute, University of Southern California, 1993, pp. 102-106.
	Franz, M., "Technological Steps Toward a Software Component Industry," Institut fur Computersysteme, Zurich, Switzerland, (undated), 23 pages.
	Kent, S., et al., "Privacy Enhancement for Internet Electronic Mail: Part II--Certificate-Based Key Management," Network Working Group, August 1989, pp. 1-22.
	Linn, J., "Privacy Enhancement for Internet Electronic Mail: Part I--Message Encipherment and Authentication Procedures," Network Working Group, August 1989, pp. 1-30.
	Microsoft Press, OLE 2 Programmer's Reference; Volume 1, "Working with Windows Objects," 1994.
	Brockschmidt, K., "A Primer on Designing Custom Controls," Microsoft Systems Journal, March/April 1992, pp. 87-101.
	Klemond, P., "Taking the Bull by the Horns: Investigating Object Linking and Embedding, Part I," Microsoft Systems Journal, March/April 1992, pp. 19-38.
	Klemond, P., "Investigating Object Linking and Embedding, Part II: Adding Server Support," Microsoft Systems Journal, May/June 1992, pp. 87-94.
	DiLascia, Paul, "OLE Made Almost Easy: Creating Containers and Servers Using MFC 2.5," Microsoft Systems Journal, April 1994, pp. 13-33.
	Coad, Peter, "Object-Oriented Patterns," Communications of the ACM, vol. 35, no. 9, September 1992, pp. 152-159.



OMB No. 0651-0011

RECEIVED

## INFORMATION DISCLOSURE CITATION

Atty. Docket No.	07451.0001-16000	Appln. No.	09/698,044	MAR 08 2004
Applicant	Karl L. Ginter, et al.			
Filing Date	October 30, 2000	Group:	2132	Technology Center 2100

Examiner Initial*	OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)
	Zelnick, Nate, "Keeping Business Safe on the Internet," PC Magazine, April 25, 1995, pp. 1-2.
	Birrell, Andrew, D., et al., "A Global Authentication Service Without Global Trust," Proceedings of the IEEE Symposium on Security and Privacy, Oakland, California, April 1986, pp. 1-11.
	Gasser, M., et al., "The Digital Distributed System Security Architecture," Reprint from the Proceedings of 1989 National Computer Security Conference, 1989, pp. 1-13.
	Zelevnick, M.P., "Security Design in Distributed Computing Applications," Department of Computer Science, University of Utah, December 1993, 16 pages.
	Moffett, Jonathan, D., et al., "An Introduction to Security Distributed Systems," Department of Computer Science, University of York, England, August 1993, pp. 1-14.
	Netscape, "SSL 2.0 Protocol Specification," viewed at <a href="http://home.netscape.com/eng/security/SSL.2html">http://home.netscape.com/eng/security/SSL.2html</a> January 23, 2003.
	Davis, D., et al., "Network Security via Private-Key Certificates," MIT Project Athena, (undated), pp. 1-4.
	Gruber, R., et al., "Disconnected Operation in the Thor Object-Oriented Database System," Laboratory of Computer Science, Massachusetts Institute of Technology, (undated), pp. 1-6.
	Ting, T.C., et al., "Requirements, Capabilities and Functionalities of User Role Based Security for an Object-Oriented Design Model," Database Security, V: Status and Prospectus, 1992, pp. 275-297.
	Gifford, David, K., "Cryptographic Sealing for Information Secrecy and Authentication," Communications of the ACM, vol. 25, no. 4, April 1982, pp. 274-286.
	Boly, J.P., et al., "The ESPRIT Project CAFÉ: High Security Digital Payment Systems," ESCORICS 94, European Symposium on Research Computer Security, Springer-Verlag Berlin, 1994, pp. 217-230.
	Kluepfel, H.M., "Securing a Global Village and its Resources: Baseline Security for Interconnected Signaling System #7 Telecommunications Networks," 1993, pp. 195-212.
	Uhler, Stephen A., "PhoneStation, Moving the Telephone onto the Virtual Desktop," 1993 Winter USENIX, San Diego, California, January 25-29, 1993, pp. 131-140.
	Brown, Patrick W., "Digital Signatures: Can They Be Accepted as Legal Signatures in EDI?," 1 <sup>st</sup> Conference on Computer and Communication Security, November 1993, pp. 86-92.



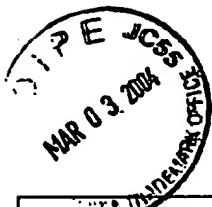
OMB No. 0651-0011

## INFORMATION DISCLOSURE CITATION

RECEIVED

Atty. Docket No.	07451.0001-16000	Appln. No.	09/698,044	MAR 08 2004
Applicant	Karl L. Ginter, et al.			
Filing Date	October 30, 2000	Group:	2132	Technology Center 2100

Examiner Initial*	OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)
	Popek, Gerald, J., et al., "Encryption and Secure Computer Networks," Computing Surveys, vol. 11, no. 4, December 1979, pp. 331-356.
	Picciotto, J., et al., "Extended Labeling Policies for Enhanced Application Support," Computers & Security, vol. 13, no. 7, 1994, pp. 587-599.
	Born, E, et al., "Discretionary Access Control by Means of Usage Conditions," Computers & Security, vol. 13, no. 5, 1994, pp. 437-450.
	Russell, S., "Paradigms for Verification of Authorization at Source of Electronic Documents in an Integrated Environment," Computers & Security, vol. 12, no. 6, 1993, pp. 542-549..
	Press, J., "Secure Transfer of Identity and Privilege Attributes in an Open Systems Environment," Computers & Security, vol. 10, no. 2, 1991, pp. 117-127.
	Fugini, M.G., et al., "Authorization and Access Control in the Office-Net System," Computer Security in the Age of Information, 1989, pp. 147-162.
	Hardjono, Thomas, "Record Encryption in Distributed Databases," Department of Computer Science, University of New South Wales, January 1990, pp. 386-395.
	Calas, C., "Distributed File System Over a Multilevel Secure Architecture Problems and Solutions," Computer Security, ESCORICS 94, Brighton, United Kingdom, November 7-9, 1994, pp. 281-297.
	Russell, S., "Planning for the EDI of Tomorrow Using Electronic Document Authorization," Computer Security (A-37), 1993, pp. 243-251.
	Lin, P., "The Encapsulated Security Services Interface (ESSI)," Computer Security (A-37), 1993, pp. 119-135.
	Fugini, M., et al., "Security Management in Office Information Systems," Computer Security: A Global Challenge, 1984, pp. 487-498.
	Montini, G, et al., "Access Control Models and Office Structures," Computer Security: A Global Challenge, 1984, pp. 473-485.
	Multics, Home; viewed on November 12, 2001 at < <a href="http://www.multicians.org">http://www.multicians.org</a> > pp. 1-3.
	Corbato, F.J., et al., "Introduction and Overview of the Multics System," viewed on November 13, 2001 at < <a href="http://www.multicians.org/fjcc1.html">http://www.multicians.org/fjcc1.html</a> > pp. 1-18.
	Moffett, J., et al., "Specifying Discretionary Access Control Policy for Distributed Systems," Computer Communications, vol. 13, no. 9, November, 1990, pp. 1-17.
	Moffett, J.D., "Specification of Management Policies and Discretionary Access Control," Department of Computer Science, University of York, June 28, 1994, pp. 1-28.



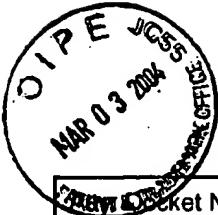
OMB No. 0651-0011

RECEIVED

## INFORMATION DISCLOSURE CITATION

Atty. Docket No.	07451.0001-16000	Appn. No.	09/698,044	MAR 08 2004
Applicant	Karl L. Ginter, et al.			Technology Center 2100
Filing Date	October 30, 2000	Group:	2132	

Examiner Initial*	OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)
	Moffett, J.D., et al., "Policy Hierarchies for Distributed Systems Management," IEEE JSAC Special Issue on Network Management, vol. 11, no. 9, December 1993, pp. 1-4.
	Moffett, J.D., et al., "The Representation of Policies as System Objects," Proceedings of the Conference on Organizational Computer Systems (COCS '91), Atlanta, Georgia, November 5-8, 1991, 16 pages.
	Lampson, B.W., "A Note on the Confinement Problem," Communications of the ACM, October, 1973, pp. 1-5.
	Thuraisingham, M.B., "Mandatory Security in Object-Oriented Database Systems," OOPSLA '89 Proceedings, October 1-6, 1989, pp. 203-210.
	Chaum, D., "Security Without Identification: Card Computers to Make Big Brother Obsolete," viewed on August 23, 2002 at < <a href="http://www.chaum.com/articles/Security_Wthout_Identification.html">http://www.chaum.com/articles/Security_Wthout_Identification.html</a> > pp. 1-24.
	Lampson, B., "Computer Security," Digital Equipment Corporation, 1991, pp. 1-54.
	Walker, S., "Notes from RSA Data Security Conference," January 18, 1994, pp. 1-3.
	RSA Security; News; < <a href="http://rsasecurity.com/news/pr/9401.html">http://rsasecurity.com/news/pr/9401.html</a> >, dated January 12, 1994, pp. 1-2.
	RSA Security; News; "iPower's Data Security Approach," < <a href="http://rsasecurity.com/news/pr/940112-10.html">http://rsasecurity.com/news/pr/940112-10.html</a> >, dated January 12, 1994.
	RSA Security; News; "General Magic Picks RSA," < <a href="http://rsasecurity.com/news/pr/940112-3.html">http://rsasecurity.com/news/pr/940112-3.html</a> >, dated January 12, 1994, pp. 1-2.
	RSA Security; News; "Enterprise Solutions Announces RSA Mail," < <a href="http://rsasecurity.com/news/pr/940112-2.html">http://rsasecurity.com/news/pr/940112-2.html</a> >, dated January 12, 1994, pp. 1-2.
	RSA Security; News; "Hewlett-Packard Chooses RSA," < <a href="http://rsasecurity.com/news/pr/940112-5.html">http://rsasecurity.com/news/pr/940112-5.html</a> >, dated January 12, 1994, pp. 1-2.
	RSA Security; News; "Hilgraeve Ships Secure Version of HyperACCESS/5," < <a href="http://rsasecurity.com/news/pr/940112-8.html">http://rsasecurity.com/news/pr/940112-8.html</a> >, dated January 12, 1994, pp. 1-2.
	RSA Security; News; "RSA Enters Wireless Arena," < <a href="http://rsasecurity.com/news/pr/940112-6.html">http://rsasecurity.com/news/pr/940112-6.html</a> >, dated January 12, 1994, pp. 1-2.
	Williams, S., "An MSJ Interview with Microsoft's Chief Architect of OLE, Tony Williams," Microsoft Systems Journal, October 1993, pp. 55-66.
	Brockschmidt, K., "OLE 2.0 Part II: Implementing a Simple Windows Object Using Either C or C++," Microsoft Systems Journal, October 1993, pp. 45-62.



OMB No. 0651-0011

RECEIVED

## INFORMATION DISCLOSURE CITATION

Appln. No.	07451.0001-16000	Appln. No.	09/698,044	MAR 08 2004
Applicant	Karl L. Ginter, et al.			
Filing Date	October 30, 2000	Group:	2132	Technology Center 2100

Examiner Initial*	OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)
	Brockschmidt, K., "Introducing OLE 2.0, Part 1: Windows Objects and the Component Object Model," Microsoft Systems Journal, August 1993, pp. 15-23.
	Brockschmidt, K., "Implementing OLE 2.0, Part III: Uniform Data Transfer with Data Objects," Microsoft Systems Journal, December 1993, pp. 47-77.
	Townsend, J.E., "NIST on Internet Security," March 22, 1994, pp. 1-15.
	Curry, David A., "Improving the Security of Your Unix System," Final Report April 1990, pp. 1-74.
	Bertino, Elisa, "Data Hiding and Security in Object-Oriented Databases," Dipartimento di Matematica, Universita di Genova, IEEE, 1992, pp.338-347.
	Kim, W., et al., "Features of the ORION Object-Oriented Database System," 1989, pp. 251-282.
	Kelter, U., et al., "Type Level Access Controls for Distributed Structurally Object-Oriented Database Systems," Computer Security, ESCORICS 92, Second European Symposium on Research in Computer Security, Toulouse, France, November 23-25, 1992, pp. 21-40.
	Wong, R., et al., "The SIDOS System: A Secure Distributed Operating System Prototype," Odyssey Research Associates, October 1989, pp. 172-183.
	OMG Security Working Group, "OMG White Paper on Security," OMG Security Working Group, April 1994, pp. 1-24.
	National Computer Security Center, "Trusted Unix Working Group (TRUSIX) Rationale for Selecting Access Control List Features for the UNIX (R) System," August 18, 1989.
	Organick, E.I., <u>The Multics System: An Examination of Its Structure</u> , MIT Press, 1972.
	Russell, D., et al., <u>Computer Security Basics</u> , O'Reilly & Associates, Inc., 1991.
	Hsiao, D., et al., <u>Computer Security</u> , Academic Press, Inc., 1979.
	Tanenbaum, A.S., <u>Operating Systems: Design and Implementation</u> , Prentice-Hall, Inc. 1987.
	Date, C.J., "An Introduction to Database Systems," 4 <sup>th</sup> Ed., Vol. 1, Addison-Wesley Publishing Company, 1987.
	Tanenbaum, A.S., <u>Modern Operating Systems</u> , Prentice-Hall, Inc. 1992.
	E-mail from Caglar Gunyakti entitled: "Private Test Needed," April 28, 2001, 1 page.
	Clark, Paul, C., et al., "BITS: A Smartcard Protected Operating System," Communications of the ACM, vol. 37, no. 11, November 1994, 66-94.



OMB No. 0651-0011

## INFORMATION DISCLOSURE CITATION

RECEIVED

Appl. No.	07451.0001-16000	Appn. No.	09/698,044	MAR 08 2004
Applicant	Karl L. Ginter, et al.			
Filing Date	October 30, 2000	Group:	2132	Technology Center 2100

Examiner Initial*	OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)
	O'Connor, MaryAnn, "New Distribution Option for Electronic Publishers," Information Access Co., March 1994, pp. 1-6.
	Willett, S., "Metered PCs: Is Your System Watching You?, Wave Systems Beta Tests New Technology," IDG Communications, Inc., May 2, 1994, pp. 1-6.
	Ferraiolo, D., et al., "Role-Based Access Control," Reprinted from the Proceedings of the 15 <sup>th</sup> National Computer Security Conference, 1992, pp. 1-11.
	Hardy, N., "The Keykos Architecture," Eighth Edition, December 1990, pp. 1-8.
	Miller, S.P., et al., "Kerberos Authentication and Authorization System," Massachusetts Institute of Technology, October 27, 1998, pp.1-36.
	IBM, "OpenDoc vs. OLE 2.0: Superior by Design," IBM, January 1994, pp. 1-4.
	Brickell, E.F., et al., "The SKIPJACK Algorithm," July 28, 1993, pp. 1-7.
	Woo, Thomas, Y.C., et al., "A Framework for Distributed Authorization," Proceedings of the 1 <sup>st</sup> Conference Computer and Communication Security, November 1993, pp.112-118.
	Davin, J., et al., "SNMP Administrative Model," Network Working Group, July 1992, pp. 1-22.
	Galvin, J., et al., "SNMP Security Protocols," Network Working Group, July 1992, pp. 1-26.
	McCloghrie, K., et al., "Definitions of Managed Objects for Administration of SNMP Parties," Network Working Group, July 1992, pp. 1-17.
	Case, J., "A Simple Network Management Protocol (SNMP)," Network Working Group, May 1990, pp. 1-21.
	Information Systems Audit and Control Association-Montreal Chapter, "Authentification dans les environnements de traitement distributés," viewed on March 25, 2002 at < <a href="http://www.apvcsi-montreal.ca/en/publications/contact133.html">http://www.apvcsi-montreal.ca/en/publications/contact133.html</a> > pp. 1-15.
	Meyer, C.H., et al., <u>Cryptography: A New Dimension in Computer Data Security</u> , John Wiley & Sons, Inc., 1982.
	Hewlett Packard Co., "Manager's Guide to MPE/iX Security," Hewlett-Packard Company, April 1994.
	Hansen, S.E., et al., "Automated System Monitoring and Notification with Swatch," Proceedings of the 1993 LISA, Monterey, California, November 1-5, 1993, pp. 101-108.
	Bellovin, S.M., "There Be Dragons," AT&T Bell Laboratories, August 15, 1992, 16 pages.
	Bellovin, S.M., "Encrypted Key Exchange: Password-Based Protocols Secure Against Dictionary Attacks," Proceedings of the IEEE Symposium on Research in Security and Privacy, Oakland, California, May 1992, 13 pages.



## INFORMATION DISCLOSURE CITATION

OMB No. 0651-0011  
RECEIVED

Appln. Ref. No.	07451.0001-16000	Appln. No.	09/698,044	MAR 08 2004
Applicant	Karl L. Ginter, et al.			Technology Center 2100
Filing Date	October 30, 2000	Group:	2132	

Examiner Initial*	OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)
	Brands, S., "Untraceable Off-line Cash in Wallets with Observers," CWI, (undated), 17 pages.
	White, J.E., "Telescript Technology: An Introduction to the Language," General Magic, Inc., (undated), pp. 1-13.
	Johnson, R., "Info on Telescript," 1994 Software Agents List Archive, December 6, 1994, pp. 1-4.
	"An Introduction to Safety and Security in Telescript," (undated), 8 pages.
	Gosling, J., "Oak Intermediate Bytecodes," 1995, 5 pages.
	"A Brief History of the Green Project," viewed on March 12, 2002 at < <a href="http://java.sun.com/people/jag/green/index.html">http://java.sun.com/people/jag/green/index.html</a> > pp. 1-2.
	IBM, "IBM Cryptolope Technology-Executive Summary," viewed on March 13, 2002 at < <a href="http://www-3.ibm.com/software/security/cryptolope.about.html">http://www-3.ibm.com/software/security/cryptolope.about.html</a> > pp. 1-3.
	IBM, "Key Cryptolope Components," viewed on March 13, 2002 at < <a href="http://www-3.ibm.com/software/security/cryptolope.about.html">http://www-3.ibm.com/software/security/cryptolope.about.html</a> > pp. 1-2.
	Stubblebine, S.G., "Security Services for Multimedia Conferencing," Proceedings of the 16 <sup>th</sup> National Computer Security Conference, Baltimore, Maryland, September 20-23, 1993, pp. 1-5.
	NIST & NSA, "Federal Criteria for Information Technology Security," Vol. II, Version 1.0, National Institute of Standards and Technology and National Security Agency, December 1992, 270 pages.
	Rashid, R.F., <u>CMU Computer Science: A 25<sup>th</sup> Anniversary Commemorative</u> , Addison-Wesley Publishing Company, 1991.
	Halffhill, Tom, R., et al., "Just Like Magic?," Byte.com, February 12, 1994, pp. 1-5.
	Walker, Bruce, J., et al., <u>Computer Security and Protection Structures</u> , Dowden, Hutchinson, & Ross, Inc., 1977.
	Stallings, W., <u>Cryptography and Network Security: Principles and Practice</u> , Prentice-Hall, Inc., 1999.
	Levine, P.H., et al., "Network License Server," Apollo, October 1987, pp. 1-19.
	Cabell, D., et al., "Software Protection," May 1985, pp. 35-37.
	Glatzer, H., "The Promise of LANs MIS Back in Control," Software News, March 1985, pp. 51-58.
	Cook, S., "Net Results," PC World, December 1985, pp. 270-328.



OMB No. 0651-0011

RECEIVED

## INFORMATION DISCLOSURE CITATION

All Doc Ref No.	07451.0001-16000	Appln. No.	09/698,044	MAR 08 2004
Applicant	Karl L. Ginter, et al.			Technology Center 2100
Filing Date	October 30, 2000	Group:	2132	

Examiner Initial*	OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)
	Kramer, M., "Strength in Numbers," PC Week, July 22, 1986, pp. 57-58.
	Custer, H., <u>Inside the Windows NT File System</u> , Microsoft Press, 1994.
	Garfinkel, S., <u>PGP: Pretty Good Privacy</u> , O'Reilly & Associates, Inc., (undated).
	McGraw, G., et al., <u>Java Security</u> , John Wiley & Sons, Inc., 1997.
	Solomon, A., <u>PC Viruses: Detection, Analysis and Cure</u> , Springer-Verlag, (undated).
	Roberts, R., et al., <u>Compute!'s Computer Security</u> , Compute! Publications, Inc., 1989.
	Shaffer, S.L., et al., <u>Network Security</u> , Academic Press, Inc., 1994.
	Denning, P.J., <u>Computer Under Attack: Intruders, Worms, and Viruses</u> , ACM Press, 1990.
	Horster, P., <u>Communications and Multimedia Security II</u> , Chapman & Hall, 1996.
	Park, J.S., <u>AS/400 Security in a Client/Server Environment</u> , John Wiley & Sons, Inc., 1995.
	Katzan, Harry, Jr., <u>Computer Data Security</u> , Litton Educational Publishing Company, 1973.
	Diffie, et al., <u>Privacy on the Line: The Politics of Wiretapping and Encryption</u> , Massachusetts Institute of Technology, 1998.
	Baker, R.H., <u>The Computer Security Handbook</u> , Tab Books, Inc., 1985.
	Hoffman, L.J., <u>Modern Methods for Computer Security and Privacy</u> , Prentice-Hall, Inc., 1977.
	Krol, E., <u>The Whole Internet User's Guide and Catalog</u> , 2 <sup>nd</sup> . Ed., O'Reilly & Associates, Inc., 1992.
	Holsinger, E., <u>How Music and Computers Work</u> , Ziff-Davis Press, 1994.
	Bell-Labs Secure Technologies, "Information Vending Encryption System (IVES)™," Lucent Technologies, May 31, 2002, pp. 1-16.
	Rubin, A.D., "Trusted Distribution of Software Over the Internet," Bellcore, 1995, pp. 1-9.
	Kohl, J.T., et al., "The Evolution of the Kerberos Authentication Service," Digital Equipment Corporation, (undated), pp. 1-15.
	CardTech/SecurTech 94 Conference Proceedings, "Building Foundations for Innovation," CardTech/SecurTech, Inc., April 1994, 1,031 pages.
	Smart Card 1993 Conference Proceedings, "Day 1: Communications and Marketing Systems & Market Overview," Lowndes Exhibition Organisers, Ltd., 1993, pp. 1-79.
	Chaum, D., <u>Smart Card 2000</u> , Elsevier Science Publishers, 1991.



OMB No. 0651-0011  
RECEIVED

INFORMATION DISCLOSURE CITATION

App. Docket No.	07451.0001-16000	Appln. No.	09/698,044	MAR 08 2004
Applicant	Karl L. Ginter, et al.			Technology Center 2100
Filing Date	October 30, 2000	Group:	2132	

Examiner Initial*	OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)
	Global Projects Group, "Smart Card Technology International: The Global Journal of Advanced Card Technology," undated, pp. 1-151.
	Vittal, J., "Active Message Processing: Messages as Messengers," Bolt, Beranek and Newman, Inc., 1980, pp. 175-195.
	Chaum, D., "Achieving Electronic Privacy," Scientific American, August 1992, pp. 1-8.
	Chaum, D., "Untraceable Electronic Cash," Extended Abstract, Center for Mathematics and Computer Science, 1988, pp. 319-327.
	Schaumüller-Bichl, S., "IC-Cards in High-Security Applications," Voest-Alpine AG, (undated), pp. 177-199.
	Medvinsky, G., et al., "NetCash: A Design for Practical Electronic Currency on the Internet," 1 <sup>st</sup> Conference on Computer and Communication Security, November, 1993, pp. 102-106.
	Dukach, S., "SNPP: A Simple Network Payment Protocol," MIT Laboratory for Computer Science, (undated), 7 pages.
	Gifford, D., et al., "The Cirrus Banking Network," Communications of the ACM, vol. 28, no. 4, August 1985, pp. 798-807.
	National Semiconductor "iPower Technology," (undated), 11 pages.
	Carnegie Mellon University, "Internet Billing Server," Prototype Scope Document, INI Tech Report, October 14, 1993, pp. 1-29.
	Krajewski, Jr., M., et al., Concept for a Smart Card Kerberos," The Mitre Corporation, (undated), 7 pages.
	Krajewski, Jr., M., "Smart Card Augmentation of Kerberos," The Mitre Corporation, (undated), 6 pages.
	Krajewski, Jr., M., "Applicability of Smart Cards to Network User Authentication," Computing Systems, vol. 7, no. 1, Winter 1994, pp. 75-89.
	Harty, K., et al., "Case Study: The VISA Transaction Processing System," May 30, 1988, pp. 1-23.
	International Standard ISO8583, "Bank Card Originated Messages - Interchange Message Specifications - Content for Financial Transactions," International Organization for Standardization, August 15, 1987, pp. 1-33.
	Rivest, R., "The MD5 Message-Digest Algorithm," Network Working Group, April 1992, pp. 1-21.
	Voydock, V.L., et al., "Security Mechanisms in High-Level Network Protocols," Computing Surveys, vol. 15, no. 2, June 1983, pp. 135-171.



OMB N . 0651-0011

## **INFORMATION DISCLOSURE CITATION**

Application No.	07451.0001-16000	Appln. No.	09/698,044	RECEIVED
Applicant	Karl L. Ginter, et al.			MAR 08 2004
Filing Date	October 30, 2000	Group:	2132	Technology Center 2100

Examiner Initial*	OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)
	Needham, R.M., "Adding Capability Access to Conventional File Servers," Xerox Palo Alto Research Center, (undated), pp. 3-4.
	Gligor, V.D., et al., "Object Migration and Authentication," IEEE Transactions on Software Engineering, vol. SE-5, no. 6, November 1979, pp. 607-611.
	Chaum, D.L., et al., "Implementing Capability-Based Protection Using Encryption," College of Engineering, University of California, Berkeley, July 17, 1978, 12 pages.
	Gifford, D.K., "Cryptographic Sealing for Information Secrecy and Authentication," Communications of the ACM, vol. 25, no. 4, April 1982, pp. 274-286.
	Johnson, H.L., et al., "A Secure Distributed Capability Based System," ACM, 1985, pp. 392-402.
	Tanenbaum, A.S., et al., "Distributed Operating Systems," Computing Surveys, vol. 17, no. 4, December 1985, pp. 419-470.
	Voydock, V.L., et al., "Security Mechanisms in High-Level Network Protocols," Computing Surveys, vol. 15, no. 2, June 1983, 135-171.
	Rushby, J.M., "Design and Verification of Secure Systems," ACM, 1981, pp. 12-21.
	Clark, P.C., et al., "BITS: A Smartcard Protected Operating System," Communications of the ACM, vol. 37, no. 11, November 1994, pp. 66-70 & 94.
	Brumm, P., et al., <u>80386/80486 Assembly Language Programming</u> , Windcrest/McGraw-Hill, 1993.
	Hutt, A.E., et al., <u>Computer Security Handbook Second Edition</u> , Macmillan Publishing Company, 1988, pp. 201-217.
	Brown, C.W., "Security for Minicomputers and Microcomputers," (undated), pp. 285-298.
	The Risks Digest, "Forum on Risks to the Public in Computers and Related Systems," Vol. 15; Issue 39, January 21, 1994, pp. 1-12
	The Risks Digest, "Forum on Risks to the Public in Computers and Related Systems," Vol. 15; Issue 47, February 9, 1994, pp. 1-12.
	Halfhill, T.R., et al., "Agents on the Loose," Byte.com, February 1994, pp. 1-2.
	Wayner, P., "Agents Away," Byte.com, May 1994, pp. 1-9.
	Hawk, H.S., "RSA & General Magic," email to Good Guys, January 6, 1994, 1 page.
	Byte.com, "Speaking the Same Language," May 1994, pp. 1-2.
	Atkins, D., et al., "The Magic Words are Squeamish Ossifrage," (undated), 15 pages.



OMB No. 0651-0011

## INFORMATION DISCLOSURE CITATION

RECEIVED

Appl. No.	07451.0001-16000	Appln. No.	09/698,044
Applicant	Karl L. Ginter, et al.		MAR 08 2004
Filing Date	October 30, 2000	Group:	2132 Technology Center 2100

Examiner Initial*	OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)
	Schill, A., et al., "Mobility Aware Multimedia X. 400 e-mail: A Sample Application Based on a Support Platform for Distributed Mobile Computing," Dresden University of Technology, Faculty of Computer Science, (undated), pp. 1-7.
	National Institute of Standards and Technology, "History of Computer Security: Early Computer Security Papers, Part 1," viewed on September 4, 2002 at < <a href="http://csrc.nist.gov/publications/history/index.html">http://csrc.nist.gov/publications/history/index.html</a> > pp. 1-27
	Department of Defense Standard, "Department of Defense Trusted Computer System Evaluation Criteria," December 1985, pp. 1-72.
	Department of Defense Computer Security Center, "Department of Defense Password Management Guideline," Department of Defense Computer Security Center, April 12, 1985, pp. 1-34.
	"Technical Rationale Behind CSC-STD-003-85: Computer Security Requirements," <a href="http://www.radium.ncsc.mil/tpep/library/rainbow/CSC-STD-004-85.html">http://www.radium.ncsc.mil/tpep/library/rainbow/CSC-STD-004-85.html</a> , June 25, 1985, pp. 1-40.
	Forcht, K.A., <u>Computer Security Management</u> , Boyd & Fraser Publishing Company, 1994.
	Olivier, M.S., "A Multilevel Secure Federated Database," Database Security, VIII (A-60), 1994, pp. 183-198.
	"iOpener," Registered Trademark of National Semiconductor Corporation, Registration date October 4, 1994, 1 page.
	U.S. Patent and Trademark Prosecution History for National Semiconductor Corporation "iOpener" Trademark, Registration date October 4, 1994, 27 pages.
	Leary, P., "Are There Ciphers in Shakespeare?," 1995, pp. 1-18.
	Toohey, J., <u>Using OLE 2.X in Application Development</u> , Que Corporation, 1994
	Holzner, S., <u>Heavy Metal OLE 2.0 Programming</u> , IDG Books Worldwide, Inc., 1994.
	Sheridan Software Systems, <u>Data Widgets 2.0: Programmer's Guide</u> , Sheridan Software Systems, Inc., 1993-1995.
	van Gilliwe, F., <u>The Undocumented PC: A Programmer's Guide to I/O, Cpus, and Fixed Memory Areas</u> , Addison-Wesley Publishing Company, 1994.
	Short, K.L., <u>Microprocessors and Programmed Logic</u> , Prentice-Hall, Inc., 1981.
	<u>Motorola MC68030 Enhanced 32-bit Microprocessor User's Manual</u> , 2 <sup>nd</sup> Ed., Prentice-Hall, 1989.
	Mullender, S., <u>Distributed Systems</u> , ACM Press, 1989.



## INFORMATION DISCLOSURE CITATION

OMB N . 0651-0011  
RECEIVED

Allocket No.	07451.0001-16000	Appln. No.	09/698,044	MAR 08 2004
Applicant	Karl L. Ginter, et al.			Technology Center 2100
Filing Date	October 30, 2000	Group:	2132	

Examiner Initial*	OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)
	Orfali, R., et al., <u>The Essential Distributed Objects Survival Guide</u> , John Wiley & Sons, Inc., 1996.
	Lockhart, Jr., H.W., <u>OSF DCE Guide to Developing Distributed Applications</u> , McGraw-Hill, Inc., 1994.
	Open Software Foundation, <u>OSF DCE Administration Guide-Core Components</u> , PTR Prentice Hall, 1993.
	Rosenberry, W., et al., "Distributing Applications Across DCE and Windows NT," 1993.
	Shirley, J., "Guide to Writing DCE Applications," 1 <sup>st</sup> Ed. 1992.
	Shirley, J., et al., "Guide to Writing DCE Applications," 2 <sup>nd</sup> Ed. 1994.
	Honeyman, P., "Digest of the First UNSENIX Workshop on Electronic Commerce (EC 95)," July 1995.
	Rubin, A.D., "Trusted Distribution of Software Over the Internet," 1995.
	Tanenbaum, A.S., et al., "Experiences with the Amoeba Distributed Operating System," 1990.
	Tanenbaum, A.S., et al., "The Amoeba Distributed Operating System-A Status Report," 1991.
	Tanenbaum, A.S., et al., "The Amoeba Distributed Operating System," 1990.
	Kim, G.H., et al., "The Design and Implementation of Tripwire: A File System Integrity Checker," November 19, 1993.
	Farmer, D., "The COPS Security Checker System," July 10, 1992.
	Kohl, J.T., et al., "The Evolution of the Kerberos Authentication System," 1991.
	Lewontin, S., et al., "The DCE Web Project: Providing Authorization and Other Distributed Services to the World Wide Web," February 22, 2002.
	Mann, C.C., "Homeland Insecurity," September 2002.
	Boone, J.V., et al., "The Start of Digital Revolution: SIGSALY Secure Digital Voice Communications in World War II," December 10, 2002.
	Weadon, P.D., "The SIGSALY Story," December 10, 2002.
	"iOpener," Registered Trademark of National Semiconductor Corporation, Registration date October 4, 1994.
	Schill, A.B., et al., "DC++: Distributed Object-Oriented System Support on top of OSF DCE," 1993.

## INFORMATION DISCLOSURE CITATION

RECEIVED



ocket No.	07451.0001-16000	Appn. No.	09/698,044
Applicant	Karl L. Ginter, et al.		MAR 08 2004
Filing Date	October 30, 2000	Group:	2132 Technology Center 2100

Examiner Initial*	OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)
	Schill, A.B., et al., "DCE-The OSF Distributed Computing Environment Client Server Model and Beyond," October 1993.
	Rosenberry, W., et al., <u>Understanding DCE</u> , O'Reilly & Associates, Inc., 1992.
	Karger, P.A., et al., "A VMM Security Kernel for the VAX Architecture," CH2884-5/90/0000/0002, IEEE 1990, pp. 2-19.
	Landwehr, C.E., et al., "A Taxonomy of Computer Program Security Flaws," ACM Computer Surveys, Vol. 26, No. 3, September 1994, pp. 211-254.
	Landwehr, C.E., "Formal Models for Computer Security," Computer Surveys, Vol. 13, No. 3, September 1981, pp. 247-278.
	Young, W.D., "Verifiable Computer Security and Hardware: Issues," Technical Report, Computational Logic Inc., September 1991, 43 pages.
	Cybenko, G., et al., "Cognitive Hacking: A Battle for the Mind," Computer, August 2002, 0018-9162/02©2002 IEEE, pp. 50-56.
	"Security Enhanced LINUX," National Security Agency, <a href="http://www.nsa.gov/selinux/">http://www.nsa.gov/selinux/</a> , pp. 1-2.
	"NSA Korean War 1950-1953 Commemoration," History Papers, National Security Agency, <a href="http://www.nsa.gov/korea/papers.htm">http://www.nsa.gov/korea/papers.htm</a> , pp. 1-2.
	"Guide to the Secure Configuration and Administration of Microsoft Exchange 5.x®," National Security Agency, June 20, 2002, pp. 1-58.
	Breon, R., et al., "Microsoft Office 97 Executable Content Security Risks and Countermeasures," National Security Agency, December 20, 1999, pp. 1-44.
	Bartock, P.F., et al., "Guide to Securing Microsoft Windows NT Networks," National Security Agency, September 18, 2001, pp. 1-132.
	Bickel, R., et al., "Guide to Securing Microsoft Windows XP," National Security Agency, October 30, 2002, pp. 1-129.
	"SIGSALY Secure Digital Voice Communications in World War II," National Security Agency, <a href="http://www.nsa.gov/wwii/papers/sigsaly.htm">http://www.nsa.gov/wwii/papers/sigsaly.htm</a> , October 13, 2000, pp. 1-2.
	"DCE Technology at Work," Distributed Computing Environment, <a href="http://www.opengroup.org/tech/dce/tech/tech.htm">http://www.opengroup.org/tech/dce/tech/tech.htm</a> , November 7, 2000, pp. 1-3.
	Kent, S., Privacy Enhancement for Internet Electronic Mail: "Part II: Certificate-Based Key Management," Network Working Group, RFC 1422, 2002, pp. 1-29.
	Saydjari, O.S., et al., "LOCK Trek: Navigating Uncharted Space," National Computer security Center, 1989, pp. 167-175.



OMB No. 0651-0011  
**RECEIVED**

INFORMATION DISCLOSURE CITATION

Atty. Docket No.	07451.0001-16000	Appn. No.	09/698,044	MAR 08 2004
Applicant	Karl L. Ginter, et al.			Technology Center 2100
Filing Date	October 30, 2000	Group:	2132	

Examiner Initial*	OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)
	Aucsmith, D., et al., "Common Data Security Architecture," Intel Architecture Lab, Presentation Material, January 22, 1996, pp. 1-16.
	Karger, P.A., et al., "Multics Security Evaluation: Vulnerability Analysis," HQ Electronic Systems Division, Hanscom AFB, Technical Report 19, June 1974, 14 pages.
	Zurko, M.E., "Panels at the 1997 IEEE Symposium on Security and Privacy," Oakland, CA, May 1997, 12 pages.
	Jaeger, T., et al., "Support for the File System Security Requirements of Computational E-Mail Systems," November 1994, ACM 0-89791-732-4/94/0011, 9 pages.
	Tirkel, A.Z. et al., "Electronic Water Mark," (undated), 5 pages.
	van Schyndel, R.G., et al., "A Digital Watermark," (undated), 3 pages.
	Kurak, C., et al., "A Cautionary Note On Image Downgrading," Proceedings of the 1992 Computer Security Applications Conference, San Antonio, TX, December 1992, 7 pages.

Examiner	Date Considered
*Examiner:	Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.
Form PTO 1449	Patent and Trademark Office - U.S. Department of Commerce